

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

Attorney Docket No.

520.40885X00

First Inventor

YUGAMI, JIRO

Title

SEMICONDUCTOR DEVICE AND PROCESS FOR PRODUCING  
THE SAME

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Express Mail Label No.

## APPLICATION ELEMENTS

SEE MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- 1 ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
*Submit one copy of this form with your application.*
- 2 ☐ Applicant claims small entity status  
See 37 CFR 1.27.
- 3 ☒ Specification [Total Pages: 32]  
*Preferred arrangement set forth below:*  
-Descriptive title of the invention  
-Cross Reference to Related Applications  
-Statement Regarding Fed sponsored R & D  
-Reference to sequence listing, a table,  
or a computer program listing appendix  
-Background of the Invention  
-Brief Summary of the Invention  
-Brief Description of the Drawings (if filed)  
-Detailed Description  
-Claim(s)  
-Abstract of the Disclosure
- 4 ☒ Drawing(s) (35 U.S.C. 113) [Total Pages: 7]
- 5 Oath or Declaration [Total Pages: 4]  
a ☒ Newly executed (original or copy)  
b ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)  
c ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
Named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b)
- 6 ☐ Application Data Sheet See 37 CFR 1.76

- 7 ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
- 8 Nucleotide and/or Amino Acid Sequence Submission  
*(if applicable, all necessary)*  
a ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies), or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- 9 ☒ Assignment Papers (cover sheet & documents(s))
- 10 ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
- 11 ☐ English Translation Document (if applicable)
- 12 ☒ Information Disclosure ☐ Copies of IDS Citations  
Statement (IDS)/PTO-1449
- 13 ☐ Preliminary Amendment
- 14 ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- 15 ☒ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- 16 ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
- 17 ☒ Other: SEE 1 IN ADDENDUM

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner: \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

020457

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name ANTONELLI, TERRY, STOUT &amp; KRAUS, LLP

Address

City

State

Zip  
Code

Country

Telephone

(703) 312-6600

Fax

(703) 312-6666

Name

Gregory E. Montone

Registration No. (Attorney/Agent)

28,141 28,577

Signature

Date

December 7, 2001

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2002</h2> <p style="margin: 0;"><i>Patent fees are subject to annual revision.</i></p>		Complete if Known																																																																																																																																																																																											
TOTAL AMOUNT OF PAYMENT		(\$ ) 864.00																																																																																																																																																																																											
Application Number																																																																																																																																																																																													
Filing Date		December 7, 2001																																																																																																																																																																																											
First Named Inventor		YUGAMI, JIRO																																																																																																																																																																																											
Examiner Name																																																																																																																																																																																													
Group Art Unit																																																																																																																																																																																													
Attorney Docket No.		520.40885X00																																																																																																																																																																																											
METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																																																																																																																											
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit overpayments to: Deposit Account Number 01-2135 Deposit Account Name Antonelli, Terry, Stout & Kraus, LLP <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant Claims small entity status. See 37 CFR 1.27		3. ADDITIONAL FEES <table border="1" style="width: 100%; border-collapse: collapse; font-size: 0.8em;"> <thead> <tr> <th>Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for <i>ex parte</i> reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examination action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>920</td><td>217</td><td>460</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,440</td><td>218</td><td>720</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,960</td><td>228</td><td>980</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>320</td><td>219</td><td>160</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>320</td><td>220</td><td>160</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>280</td><td>221</td><td>140</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,280</td><td>241</td><td>640</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,280</td><td>242</td><td>640</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>460</td><td>243</td><td>230</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>620</td><td>244</td><td>310</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Processing fee under 37 CFR 1.17(q)</td><td></td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>40.00</td></tr> <tr><td>146</td><td>740</td><td>246</td><td>370</td><td>For each additional invention to be examined (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149</td><td>740</td><td>249</td><td>370</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr> <tr><td>179</td><td>740</td><td>279</td><td>370</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr> <tr><td colspan="5">Other fee (specify) _____</td><td></td></tr> <tr><td colspan="5" style="text-align: right;">SUBTOTAL (3) (\$ ) 40.00</td><td></td></tr> </tbody> </table>		Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath		127	50	227	25	Surcharge - late provisional filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examination action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	400	216	200	Extension for reply within second month		117	920	217	460	Extension for reply within third month		118	1,440	218	720	Extension for reply within fourth month		128	1,960	228	980	Extension for reply within fifth month		119	320	219	160	Notice of Appeal		120	320	220	160	Filing a brief in support of an appeal		121	280	221	140	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,280	241	640	Petition to revive - unintentional		142	1,280	242	640	Utility issue fee (or reissue)		143	460	243	230	Design issue fee		144	620	244	310	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Processing fee under 37 CFR 1.17(q)		126	180	126	180	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00	146	740	246	370	For each additional invention to be examined (37 CFR § 1.129(a))		149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))		179	740	279	370	Request for Continued Examination (RCE)		169	900	169	900	Request for expedited examination of a design application		Other fee (specify) _____						SUBTOTAL (3) (\$ ) 40.00					
Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																								
105	130	205	65	Surcharge - late filing fee or oath																																																																																																																																																																																									
127	50	227	25	Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																																									
139	130	139	130	Non-English specification																																																																																																																																																																																									
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination																																																																																																																																																																																									
112	920*	112	920*	Requesting publication of SIR prior to Examination action																																																																																																																																																																																									
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																									
115	110	215	55	Extension for reply within first month																																																																																																																																																																																									
116	400	216	200	Extension for reply within second month																																																																																																																																																																																									
117	920	217	460	Extension for reply within third month																																																																																																																																																																																									
118	1,440	218	720	Extension for reply within fourth month																																																																																																																																																																																									
128	1,960	228	980	Extension for reply within fifth month																																																																																																																																																																																									
119	320	219	160	Notice of Appeal																																																																																																																																																																																									
120	320	220	160	Filing a brief in support of an appeal																																																																																																																																																																																									
121	280	221	140	Request for oral hearing																																																																																																																																																																																									
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																									
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																																									
141	1,280	241	640	Petition to revive - unintentional																																																																																																																																																																																									
142	1,280	242	640	Utility issue fee (or reissue)																																																																																																																																																																																									
143	460	243	230	Design issue fee																																																																																																																																																																																									
144	620	244	310	Plant issue fee																																																																																																																																																																																									
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																									
123	50	123	50	Processing fee under 37 CFR 1.17(q)																																																																																																																																																																																									
126	180	126	180	Submission of Information Disclosure Stmt																																																																																																																																																																																									
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00																																																																																																																																																																																								
146	740	246	370	For each additional invention to be examined (37 CFR § 1.129(a))																																																																																																																																																																																									
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																																																									
179	740	279	370	Request for Continued Examination (RCE)																																																																																																																																																																																									
169	900	169	900	Request for expedited examination of a design application																																																																																																																																																																																									
Other fee (specify) _____																																																																																																																																																																																													
SUBTOTAL (3) (\$ ) 40.00																																																																																																																																																																																													
2. <input checked="" type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input checked="" type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other		2. BASIC FILING FEE <table border="1" style="width: 100%; border-collapse: collapse; font-size: 0.8em;"> <thead> <tr> <th>Large Fee Code</th> <th>Large Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101</td><td>740</td><td>201</td><td>370</td><td>Utility filing fee</td><td>740.00</td></tr> <tr><td>106</td><td>330</td><td>206</td><td>165</td><td>Design filing fee</td><td></td></tr> <tr><td>107</td><td>510</td><td>207</td><td>255</td><td>Plant filing fee</td><td></td></tr> <tr><td>108</td><td>740</td><td>208</td><td>370</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114</td><td>160</td><td>214</td><td>80</td><td>Provisional filing fee</td><td></td></tr> <tr><td colspan="5" style="text-align: right;">SUBTOTAL (1)</td><td>740.00</td></tr> </tbody> </table>		Large Fee Code	Large Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid	101	740	201	370	Utility filing fee	740.00	106	330	206	165	Design filing fee		107	510	207	255	Plant filing fee		108	740	208	370	Reissue filing fee		114	160	214	80	Provisional filing fee		SUBTOTAL (1)					740.00																																																																																																																																																
Large Fee Code	Large Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																								
101	740	201	370	Utility filing fee	740.00																																																																																																																																																																																								
106	330	206	165	Design filing fee																																																																																																																																																																																									
107	510	207	255	Plant filing fee																																																																																																																																																																																									
108	740	208	370	Reissue filing fee																																																																																																																																																																																									
114	160	214	80	Provisional filing fee																																																																																																																																																																																									
SUBTOTAL (1)					740.00																																																																																																																																																																																								
1. EXTRA CLAIM FEES <table border="1" style="width: 100%; border-collapse: collapse; font-size: 0.8em;"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>20 - 20** = 0</td><td></td><td>x 0.00</td><td>= 0.00</td></tr> <tr><td>Indep. Claims 4-3** = 1</td><td></td><td>x 84.00</td><td>= 84.00</td></tr> <tr><td>Multiple Dependent</td><td></td><td>0.00</td><td>= 0.00</td></tr> </tbody> </table>		Total Claims	Extra Claims	Fee from below	Fee Paid	20 - 20** = 0		x 0.00	= 0.00	Indep. Claims 4-3** = 1		x 84.00	= 84.00	Multiple Dependent		0.00	= 0.00	2. SUBTOTAL (2) \$ 84.00																																																																																																																																																																											
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																																																																																										
20 - 20** = 0		x 0.00	= 0.00																																																																																																																																																																																										
Indep. Claims 4-3** = 1		x 84.00	= 84.00																																																																																																																																																																																										
Multiple Dependent		0.00	= 0.00																																																																																																																																																																																										
1. EXTRA CLAIM FEES (continued) <table border="1" style="width: 100%; border-collapse: collapse; font-size: 0.8em;"> <thead> <tr> <th>Large Fee Code</th> <th>Large Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>102</td><td>84</td><td>202</td><td>42</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>104</td><td>280</td><td>204</td><td>140</td><td>Multiple dependent claim, if not paid</td><td></td></tr> <tr><td>109</td><td>84</td><td>209</td><td>42</td><td>** Reissue independent claims over original patent</td><td></td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>** Reissue claims in excess of 20 and over original patent</td><td></td></tr> <tr><td colspan="5" style="text-align: right;">SUBTOTAL (2) \$ 84.00</td><td></td></tr> </tbody> </table>		Large Fee Code	Large Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid	103	18	203	9	Claims in excess of 20		102	84	202	42	Independent claims in excess of 3		104	280	204	140	Multiple dependent claim, if not paid		109	84	209	42	** Reissue independent claims over original patent		110	18	210	9	** Reissue claims in excess of 20 and over original patent		SUBTOTAL (2) \$ 84.00						2. SUBTOTAL (2) \$ 84.00																																																																																																																																																	
Large Fee Code	Large Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																								
103	18	203	9	Claims in excess of 20																																																																																																																																																																																									
102	84	202	42	Independent claims in excess of 3																																																																																																																																																																																									
104	280	204	140	Multiple dependent claim, if not paid																																																																																																																																																																																									
109	84	209	42	** Reissue independent claims over original patent																																																																																																																																																																																									
110	18	210	9	** Reissue claims in excess of 20 and over original patent																																																																																																																																																																																									
SUBTOTAL (2) \$ 84.00																																																																																																																																																																																													

\*\*or number previously paid, if greater. For Reissues, see above.

\*Reduced by Basic Filing Fee Paid

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Gregory E. Montone - Ronald J. Sh...	Registration No. (Attorney/Agent)	28,141 28,577
Signature	<i>[Signature]</i>	Telephone	703-312-6600
		Date	12/07/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Approved for use through 10/31/2002 OMB 0651-0032

Trademark Office U S DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>UTILITY PATENT APPLICATION TRANSMITTAL (ADDENDUM)</b>  <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket No.		520.40885X00
	First Inventor		YUGAMI, JIRO
	Title	SEMICONDUCTOR DEVICE AND PROCESS FOR PRODUCING THE SAME	
	Express Mail Label No.		
1. CREDIT CARD PAYMENT FORM FIGS. 1A-D, 2A-C, 3A-C, 4A-B, 5, 6A-C, 7A-C			

**Burden Hour Statement** This form is estimated to take 2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.